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**SECTION 1 -- MESSAGE TO CONTROL TERMINAL OFFICERS AND FEDERAL  
SERVICE COORDINATORS**

Section 2.1 of this TOU contains information on the expanded use of Purpose Code F.

Section 2.2 provides a change in policy regarding "John Doe" and "Jane Doe" warrant entries.

Section 2.3 establishes maximum inquiry, batch inquiry, entry, enter-supplemental, and modify  
hit responses.

Section 3 contains updates to the *NCIC 2000 Code Manual*.

\* \* \* \* \*

Users are reminded that any questions concerning the *NCIC 2000 Operating Manual*, *NCIC 2000 Code Manual*, or the distribution of TOUs should be directed to the Communications Unit at 304-625-4995.

TOUs are also available via the Internet on Law Enforcement OnLine (LEO) at [www.leo.gov/lesig/cjis/cjis\\_pub/programs/ncictous.html](http://www.leo.gov/lesig/cjis/cjis_pub/programs/ncictous.html). Users with questions concerning access to LEO should contact the LEO Program Office at 202-324-8833.

\* \* \* \* \*

## **SECTION 2 -- SYSTEM CHANGES**

### **2.1 EXPANDED USE OF PURPOSE CODE F IN INSTANCES IN WHICH (1) A FIREARM OR RELATED PERMIT IS BEING ISSUED, (2) A FIREARM HAS BEEN PAWNED, OR (3) A LAW ENFORCEMENT AGENCY IN POSSESSION RETURNS A FIREARM TO ITS RIGHTFUL OWNER**

**AFFECTED BY CHANGE:**

**Interstate Identification Index (III)**

**EFFECTIVE DATE**

**July 1, 2002**

#### **Background**

Since 1921, the FBI has been authorized to collect and disseminate criminal history record information (CHRI) pursuant to 28 U.S.C. §534. Before 1971, the FBI responded to inquiries from various sources for CHRI for noncriminal justice purposes. This practice ceased with *Menard v. Mitchell*, 328 F. Supp. 718 (D.D.C. 1971), in which the court determined that the FBI was without authority to disseminate CHRI outside the Federal Government for employment, licensing, and other noncriminal justice purposes. After *Menard*, there was a distinction between criminal justice and noncriminal justice use and, therefore, the authority to access III in the absence of statutory authority. The "administration of criminal justice" is defined at 28 C.F.R. §20.3(b) as the "performance of any of the following activities: Detection, apprehension, detention, pretrial release, post-trial release, prosecution, adjudication, correctional supervision, or rehabilitation of accused persons or criminal offenders" and is documented by use of Purpose Code C when accessing III.<sup>(1)</sup>

In December 1986, the NCIC Advisory Policy Board (APB) (a predecessor to the CJIS APB) resolved that the "administration of criminal justice" includes "the licensing or issuing of a permit for a weapon or explosives when required to be performed by a criminal justice agency pursuant to a Federal, state, or local law." Approved by the Director of the FBI, this policy allowed criminal justice agencies responsible for the issuance of such licenses or permits to use the III to conduct criminal history record checks on license or permit applicants. See *Fingerprint*

Contributor Letter 87-2 (July 24, 1987). In 1994, with the concurrence of the CJIS APB, the FBI announced that while access to the III by criminal justice agencies for the noncriminal justice purpose of checking applicants for firearms and related permits (where authorized by federal, state, or local law) would be allowed, submission of firearm and related permit applicant fingerprints by a criminal **or** noncriminal justice agency would require a state statute satisfying Public Law 92-544. See *CJIS Information Letter 94-2* (July 1, 1994) and *CJIS Information Letter 95-2* (March 27, 1995).

The Anti-Drug Abuse Act of 1988 (Public Law 100-690) established the Felon Identification in Firearms Sales Program, now known as the Identification for Firearms Sales (IFFS),<sup>(2)</sup> in response to which Purpose Code F was created for the purpose of screening applicants for firearms and related purposes. By TOU 95-2 (July 31, 1995), it was announced that "Purpose Code F must be used for all firearms-related inquiries." Hence, criminal justice agencies pursuant to state law, regulation, or local ordinance may access the III when authorized to issue firearms-related or explosives permits to nonprohibited persons, and this TOU merely reflects such practice.

Criminal justice agencies (including courts) in possession of firearms that have been stolen, confiscated, or used in suicides are concerned that in returning such firearms to their lawful owners (including the families of suicide victims), the agencies may be providing firearms to persons prohibited by federal or state law from possessing firearms. Additionally, pawned firearms are routinely checked against the NCIC 2000 Gun File to determine whether they have been lost, stolen, or used in the commission of a crime. The Brady Handgun Violence Prevention Act, Public Law 103-159, requires a check through the National Instant Criminal Background Check System (NICS) prior to pawn redemption. Additionally, annual Department of Treasury appropriation bills (see Public Law 105-277, 106-58, et seq.) authorize (but do not mandate) a NICS check prior to placing a firearm in pawn. Criminal justice agencies have expressed interest in checking the III to determine whether a firearm pawner is prohibited from possession by federal or state law because of a criminal background. In response to such interest, the CJIS APB in June 2001 authorized the expansion of Purpose Code F "in instances in which (1) a firearm has been pawned or (2) a law enforcement agency in possession of a firearm is relinquishing possession to a lawful owner (including a family member in cases of suicide)."<sup>(3)</sup>

### **System Change**

In light of the foregoing, the FBI is amending the discussion of Purpose Code F appearing in the *NCIC 2000 Operating Manual* at III, Section 2.1, to appear as follows:

Used by criminal justice agencies for the purposes of (a) issuing firearms-related permits and explosives permits pursuant to state law, regulation, or local ordinance; (b) returning firearms to their lawful owners; and (c) enforcing federal and state law prohibiting certain persons with criminal records from possessing firearms, in circumstances in which firearms have been pawned.

## 2.2 ADDITIONS AND CORRECTIONS TO THE NCIC 2000 OPERATING MANUAL TO REFLECT A CHANGE IN THE POLICY REGARDING "JOHN DOE" AND "JANE DOE" WARRANT ENTRIES

AFFECTED BY CHANGE:

Wanted Person File

EFFECTIVE DATE

Immediately

### Background

Recently, an issue was raised concerning entering NCIC Wanted Person File records for warrants issued in the name of "John Doe" or "Jane Doe" in cases not involving homicides. The CJIS Division was asked to provide information concerning previous discussion of this issue by the NCIC APB.

At its June 1992 meeting, the NCIC APB addressed a topic captioned "Entry of Stolen/Fraudulent Names When True Name Is Unknown and Fraudulent Name Is Not a Homicide Victim." At that time, a recommendation was made to change the existing policy, and it was subsequently approved by the APB.

### NCIC Operating Manual Changes

Additions to the NCIC 2000 Operating Manual are indicated by highlighting and deletions are indicated by ~~strikeout~~.

## WANTED PERSON FILE CHAPTER

### 1.9 CRITERIA FOR ENTERING NAMES AND DATES OF BIRTH FOR STOLEN/FRAUDULENT IDENTIFIERS

3. If an arrest warrant is issued in the name of "John Doe" because the wanted person's true identity is unknown and the wanted person is believed to be using the identification stolen from a homicide victim, the name "John Doe" should be entered in the base record NAM, and the homicide victim's name should be entered in the S/F NAM Field. The homicide victim's date of birth and/or other identifiers should be entered in the appropriate S/F identifier field(s).

3. If an arrest warrant is issued in the name of "John Doe" or "Jane Doe" because the wanted person's true identity is unknown and the wanted person is known to be using stolen or fraudulent identification documents, entry of a Wanted Person File record is permitted provided the identifiers from the stolen or fraudulent documents are included in the wanted person record and identified as such. FBI numbers should not be entered in these types of records.

Refer to SECTION 2.6 CRITERIA FOR ENTRY OF "JOHN DOE" OR "JANE DOE" WARRANTS for further information.

4. This enhancement only serves to **highlight** information when the record subject is known to use S/F identification documents. It does not alter current policy concerning entry of "John Doe" or "Jane Doe" ~~warrants~~ records without a warrant which ~~are~~ is currently allowed only when the

record subject is using a homicide victim's identification.

## **2.3 MANDATORY FIELDS FOR ENTRY**

### **2. STOLEN/FRAUDULENT (S/F) IDENTIFIERS**

2. Any agency transmitting a base record entry message for an individual who is known to be using the an S/F identification of a homicide victim and whose real identifiers are unknown must include a minimum of one S/F numerical identifier, SOC, MNU, OLN with OLS and OLY, or NAM and DOB with the base record entry message. For example:

1N01HEADER.EW-C.MD1012600.DOE,JOHN.M.W.....510.  
150.BRO.BRO..FAR.....0903..19990228.99-15243...98-0001234.MD101783J.  
BELIEVED TO BE USING HOMICIDE VICTIM PETER SMITH DRIVERS LICENSE  
AND SSN.Y.....00.SMITH, PETER.19451212.899001234..DC123456.DC.2002

## **2.6 CRITERIA FOR ENTRY OF "JOHN DOE" OR "JANE DOE" WARRANTS**

1. In jurisdictions authorized to use "John Doe" or "Jane Doe" warrants, an agency may enter a record for an unknown murderer in the name of "John or Jane Doe" using the homicide victim's descriptive data-Wanted Person File record in the name of "John Doe" or "Jane Doe" using the identifiers from the stolen or fraudulent documents, provided this type of warrant has been obtained.

2. When making any "John or Jane Doe" entries, the victim's name should be listed as S/F, and his or her description and personal identifiers, including DOB, SOC, and OLN, should be placed in the appropriate S/F identifier field(s) as well as a statement in the MIS Field that the victim's personal identification may be in the possession of "John or Jane Doe".

2. If an arrest warrant is issued in the name of "John Doe" or "Jane Doe," the name from the S/F documents should be listed as S/F. Any identifiers should be placed in the appropriate S/F identifier field(s), and a statement should be placed in the MIS Field indicating that the documents may be in the possession of "John Doe" or "Jane Doe." FBI numbers should not be included in these types of entries.

3. If an agency is located in a jurisdiction that does not issue this type of warrant, only those cases involving a homicide where the wanted person is believed to be using the victim's identification can be entered as "John Doe" or "Jane Doe." The criteria below list the instructions to enter "John Doe" or "Jane Doe" records without a warrant:

1. To allow specific identification of "John Doe" or "Jane Doe" entries in cases involving a homicide where a warrant could not be secured, OFF 0913 has been added for use in the OFF Field.

2. A variation in the DOW Field will be required when the OFF/0913 is used. Because a warrant could not be issued, the date the investigation was opened should be entered in the DOW. Use of OFF/0913 will generate the following caveat at the end of the records:

NO WARRANT. SUBJECT POSSIBLY IN POSSESSION OF HOMICIDE VICTIM'S PERSONAL IDENTIFICATION. CONTACT ORI IMMEDIATELY.

3. OFF 0913 is **restricted** to open homicide investigations where the victim's identification was missing at the time the body was located and to agencies unable to obtain a "John Doe" or "Jane Doe" warrant. The report must indicate that the victim's identification was missing and must be available for audit purposes by FBI CJIS staff.

## **2.3 MAXIMUM INQUIRY, BATCH INQUIRY, ENTRY, ENTER-SUPPLEMENTAL, AND MODIFY HIT RESPONSES.**

AFFECTED BY CHANGE:

**Introduction**

**Article File**

**Boat File**

**Gun File**

**Other Transactions Protection Order File**

**Securities File**

**Convicted Sexual Offender Registry File**

**Vehicle File**

**Violent Gang and Terrorist Organization File**

**Wanted Person File**

EFFECTIVE DATE:

**December 1, 2003**

### **Background**

Recently, an NCIC user sent a batch inquiry transaction. After a preset period of time, the user's system resent the transaction because it had not received a response from NCIC. This process repeated itself until all lines coming into NCIC from that state were engaged in the transmission of these transactions. This scenario eventually caused downtime in NCIC.

To avoid future NCIC downtime, an operational change is being made to limit the number of batch inquiries as well as on-line hit responses in NCIC. The change limits on-line responses to 100 and limits batch responses to 2,000.

### **System Change**

The NCIC System change includes limiting on-line hit responses to 100 records for on-line inquiries. Batch inquiries are limited to 2,000 hit response records. These limitations will apply to the following transactions: One Crime Inquiry Transaction (QI); Inquiry Article (QA) & (ZA); Batch Articles Inquiry (QAB); Boat Inquiry (QB) & (ZB); Batch Boat Inquiry (QBB); Inquiry Gun (QG) & (ZG); Batch Gun Inquiry (QGB); Inquiry Security (QS) & (ZS); Batch Security Inquiry (QSB); Inquiry Wanted (QW) & (ZW); Batch Inquiry Wanted (QWB); Combined NCIC and Interstate Identification Index (III) Inquiry (QWI); Inquiry Gang/Terrorist Member (QGM); Inquiry Protection Order (QPO); Inquiry Sex Offender (QXS); Inquiry Vehicle (QV) & (ZV); Batch Vehicle Inquiry (QVB); and Enter, Enter-supplemental, and Modify transactions.

## NCIC Operating Manual Changes

Changes affecting the NCIC 2000 Operating Manual are indicated by highlighting and deletions are indicated by ~~strikeout~~.

## INTRODUCTION

### SECTION 2.2 -- ENTRY

The purpose of an entry message is to place a new record in a file or to append supplemental records to those already on file. During an Entry, or Enter-supplemental transaction, new data entered may cause an Inquiry transaction to occur. These inquiries generate Duplicate-Record-Accept and Duplicate-Record-Reject hits. If the hit responses contain more than 100 total hits, then the following message will be received:

" ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW"

Entry messages and acknowledgments, including examples, are further explained in the Entry section of each NCIC 2000 file chapter.

### SECTION 2.3 -- MODIFICATION

The purpose of a modification message is to add, delete, or change portions of data which are part of a record. A record may be modified only by the agency that entered the record as long as the record is in active status. The only exceptions are modifications to ORI records. All ORI entries are made by FBI CJIS, but modifications may be made by the agency assigned the ORI. During a Modification transaction, modified data entered may cause an Inquiry transaction to occur. These inquiries generate Duplicate-Record-Accept and Duplicate-Record-Reject hits. If the hit responses contain more than 100 total hits, then the following message will be received:

" ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW"

Modification messages and acknowledgments are further explained in the Modification section of each NCIC 2000 file chapter.

### SECTION 2.5 -- INQUIRY

#### 6. Positive Response to an On-line Inquiry

19. MAXIMUM RECORD COUNT EXCEEDED FOR AN ON-LINE SEARCH. RESUBMIT MODIFIED SEARCH PARAMETERS OR SUBMIT A GLOBAL INQUIRY TO RETRIEVE ALL RECORDS.

The message above appears when the number of on-line hit responses exceeds 100 records.

MAXIMUM RECORD COUNT EXCEEDED FOR A BATCH INQUIRY. RESUBMIT MODIFIED SEARCH PARAMETERS OR REQUEST A GLOBAL INQUIRY TO RETRIEVE ALL RECORDS.

The message above appears when the number of batched inquiry hits exceeds 2,000 hit response records.

## ARTICLE FILE

### SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

5. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with the additional hits: up to an additional 100 hit responses.

### SECTION 5.5 -- ADDITIONAL GUIDELINES FOR NCIC 2000 INQUIRY

3. If the hit response contains more than ten secondary hit responses, the following will be included in the hit response to indicate a file is being created with the additional hits: up to an additional 100 hit responses.

### SECTION 5.6 -- BATCH INQUIRY (QAB)

4. A \$.B. administrative message will then be sent to the ORI to identify the file name to be requested to retrieve the additional hit responses. The results of the batch inquiry are transmitted via a file to be retrieved by the user. The maximum number of batched inquiry hit responses is 2,000. If the maximum number is exceeded, the Introduction chapter of this manual provides the necessary message translation. The user is notified of the file by the \$.B. administrative message. The following is an example of the file:

1L01HEADER  
DC1014300

SEQUENCE NUMBER: 001  
NO RECORD TYP/CPROJEC SER-OAN/123456789 OR MD6810122

SEQUENCE NUMBER: 002  
MKE/STOLEN ARTICLE  
ORI/WV1014300 TYP/RRADIO SER/21344 BRA/PANASO  
MOD/27TRC OAN/VA7779238 DOT/19981010 OCA/123456789  
NIC/A287654123 DTE/19981011 0000 EDT  
ORI IS ANY CITY PD WV 304 555-1212  
IMMED CONFIRM RECORD WITH ORI

SEQUENCE NUMBER: 005  
NO RECORD TYP/CPROJEC SER-OAN/MD6810122

SEQUENCE NUMBER: 010  
NO RECORD NIC/A123456789

## BOAT FILE

### SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY



7. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with up to an additional 100 hit responses.

#### ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will be sent to the ORI to identify the file name to be requested to retrieve the hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

### SECTION 5.5 -- ADDITIONAL GUIDELINES FOR NCIC 2000 INQUIRY

#### 2. RELATED SEARCH HIT (RSH)

Inquiries may also contain a Related Search Hit (RSH) Field. If the RSH is Y, secondary hit responses will be returned for all records with the same ORI/OCA as the primary hit response and all records linked by the LKI/LKA contained in the primary hit response.

If the hit response contains more than ten secondary hit responses, the following will be included in the hit response to indicate a file is being created with the additional hits up to an additional 100 hit responses.

#### ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. will then be sent to the ORI to identify the file name to be requested to retrieve the additional hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

### SECTION 5.8 -- BATCH INQUIRY (QBB)

1. The NCIC 2000 batch inquiry allows users to create a file of individual QB/ZB inquiries in one message. Each inquiry is delimited by a sequence number (SEQ) at the beginning of the inquiry and an "&" as a separator. The SEQ is three numerics and is used to match the responses (hit or no hit) to the specific inquiry from which they were generated. Prior to each response, SEQUENCE NUMBER: <SEQ> will be returned to identify those responses that follow as coming from the inquiry with that sequence number. For example:

1N01HEADER.QBB.MD1014300.001.BHN/LBC123450874&002.REG/MD1235ZZ.

#### Acknowledgment:

1L01HEADER  
MD1014300  
BATCH INQUIRY RECEIVED

2. The sequence numbers, as shown in the example, do not have to be sequential (001, 002, 005, 010), but they have to be unique. The HDR, ORI, MKE, and SEQ are entered without the MFC.

The identifiers available in the QB/ZB inquiry are available for use in the QBB message, including the IND and the RSH indicators, and are preceded by the proper MFC.

3. There is a limit of 1,800 characters for a batch inquiry, including the header and all control characters.

4. The results of the batch inquiry are transmitted via a file to be retrieved by the user. The maximum number of inquiry batched records is 2,000. If the maximum number is exceeded, the Introduction chapter of this manual provides the necessary message translation. The user is notified of the file by the \$.B. administrative message. The following is an example of the contents of the file.

1L01HEADER  
MD1014300

SEQUENCE NUMBER: 001  
NO RECORD BHN/LBC123450874

SEQUENCE NUMBER: 002

MKE/STOLEN BOAT  
ORI/MD1012600 REG/MD1235ZZ RES/MD REY/1999 HUL/WD  
BHN/CAT370431234 BYR/1996 PRO/OB BMA/CAT BTY/RUN BLE/17  
BCO/RED DOT/20000110  
OCA/A222  
MIS/BLUE STRIPING  
NIC/B723005317 DTE/20000112 1400 EST  
ORI IS ANY CITY PD MD 301 555-1212  
IMMED CONFIRM RECORD WITH ORI

SEQUENCE NUMBER: 005

NO RECORD BHN/SUN32104500012561

SEQUENCE NUMBER: 010

NO RECORD NIC/B123456789

## GUN FILE

### SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

5. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with the additional hits up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will then be sent to the ORI to identify the file name to be

requested to retrieve the additional hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

## **SECTION 5.5 -- ADDITIONAL GUIDELINES FOR NCIC 2000 INQUIRY**

### **RELATED SEARCH HIT (RSH)**

Inquiries may contain a Related Search Hit (RSH) Field. If RSH is Y, secondary hit responses will be returned for all records with the same ORI/OCA as the primary hit response and all records linked by the LKI/LKA contained in the primary hit response.

If the hit response contains more than 20 primary and secondary hit responses (primary and/or secondary), the following will be included in the hit response after the first 20 hit responses to indicate a file is being created with the additional hits: up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will then be sent to the ORI to identify the file name to be requested to retrieve the additional hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

## **SECTION 5.6 -- BATCH QUERY (QGB)**

3. There is a limit of 1800 characters for a batch inquiry, including the header and all control characters.

1N01HEADER.QGB.DC1014300.001.SER/B512673.MAK/REM.  
CAL/308&002.NIC/G000012341&005.SER/1289341&010.  
NIC/G123456789

### **Acknowledgment:**

1L01HEADER  
DC1014300  
BATCH INQUIRY RECEIVED

The results of the batch inquiry are transmitted via a file to be retrieved by the user. The maximum number of inquiry batched records is 2,000. If the maximum number is exceeded, the Introduction chapter of this manual provides the necessary message translation. The user is notified of the file by the \$.B. administrative message. The following is an example of the contents of the file.

1L01HEADER  
DC1014300

SEQUENCE NUMBER: 001

MKE/STOLEN GUN  
ORI/MD1012600 SER/B512673 MAK/REM CAL/308 MOD/MOHAWK  
TYP/RC DOT/19981010  
OCA/123424242  
NIC/G039436535 DTE/19981012 0000 EDT  
ORI IS ANY CITY PD MD 301 555-1212

SEQUENCE NUMBER: 002

NO RECORD NIC/G000012341

SEQUENCE NUMBER: 005

MKE/STOLEN GUN

ORI/GAAP0000 SER/1289341 MAK/REM CAL/308 MOD/1432HC1891B

TYP/RC DOT/19981009

OCA/96745643355

MIS/GUN STOLEN DURING A HOUSE ROBBERY

NIC/G000100823 DTE/19981011 0001 ~~EST~~ EDT

ORI IS ATLANTA PD ATLANTA GA 404 555-1212

IMMED CONFIRM RECORD WITH ORI

SEQUENCE NUMBER: 010

NO RECORD NIC/G123456789

## **OTHER TRANSACTIONS**

### **SECTION 2.5 -- ADDITIONAL GUIDELINES**

4. The inquiry will return up to 20 hits on-line. If the hit response contains more than 20 responses, the following will be included to indicate a file is being created with the additional hits up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

5. A \$.B. administrative message will then be sent to the ORI to identify the file name to be requested in order to retrieve the additional hit responses. The File Transfer (FT) transaction in this chapter of this manual contains additional information on retrieving the file.

## **PROTECTION ORDER FILE**

### **SECTION 5.3 -- REQUIREMENTS FOR AN INQUIRY**

7. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will be sent to the ORI to identify the file name to be requested to retrieve the hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

### **SECTION 5.5 -- ADDITIONAL GUIDELINES FOR NCIC 2000 INQUIRY**

#### **2. RELATED SEARCH HIT (RSH)**

1. QPO inquiries may also contain a Related Search Hit (RSH) Field. If the RSH is Y, secondary hit responses will be returned for all POF records with the same ORI/OCA as the primary hit

response.

2. If the hit response contains more than ten secondary hit responses, the following will be included in the hit response to indicate a file is being created with the additional hits up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

3. A \$.B. notification will then be sent to the ORI to identify the file name to be requested to retrieve the additional hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

## **SECURITIES FILE**

### **SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY**

5. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with the additional hits up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will then be sent to the ORI to identify the file name to be requested to retrieve the additional hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

### **SECTION 5.5 -- ADDITIONAL GUIDELINES FOR NCIC 2000 INQUIRY**

#### **RELATED SEARCH HIT (RSH)**

Inquiries may also contain a Related Search Hit (RSH) Field. If RSH is Y, secondary hit responses will be returned for all records with the same ORI/OCA as the primary hit response and all records linked by the LKI/LKA contained in the primary hit response.

1. If the hit response contains more than 10 secondary hit responses, the following will be included in the hit response to indicate a file is being created with up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

2. A \$.B. administrative message will be sent to the ORI to identify the file name to be requested to retrieve the hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

### **SECTION 5.6 -- BATCH INQUIRY (QSB)**

4. The results of the batch inquiry are transmitted via a file to be retrieved by the user. The maximum number of inquiry batched records is 2000. If the maximum number is exceeded, the Introduction chapter of this manual provides the necessary message translation. The user is

notified of the file by the \$.B. administrative message. The following is an example of the content of the file:

1L01HEADER  
DC1014300

SEQUENCE NUMBER: 001  
MKE/STOLEN SECURITY  
ORI/MD1012600 TYP/BD SER/D30232 DEN/1000 ISS/CON EDISON OWN/POWELL, JOSEPH  
SDT/M19801004 DOT/19980910 OCA/1232534444  
NIC/S178628175 DTE/19980912 0000 EDT  
ORI IS ANY CITY PD MD 301 555-1212  
IMMED CONFIRM RECORD WITH ORI  
SEQUENCE NUMBER: 002  
NO RECORD OWN/SMITH, JOSEPH OCA/123242323  
SEQUENCE NUMBER: 005  
NO RECORD OWN/BROWN, ROBERT SOC/144237911

SEQUENCE NUMBER: 010  
NO RECORD NIC/S123456789

## **CONVICTED SEXUAL OFFENDER REGISTRY FILE**

### **SECTION 5.5 -- ADDITIONAL GUIDELINES FOR INQUIRY**

4. An inquiry can provide a secondary hit response only from within the Convicted Sexual Offender Registry File when the primary hit contains a SOC, FBI, or VIN, and those fields were not part of the original search criteria. A second computer search is automatically generated on the SOC, FBI, and VIN contained in the primary record response. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with up to an additional 100 hit responses.

#### **ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW**

A \$.B. administrative message will be sent to the ORI to identify the file name to be requested to retrieve the hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

#### **8. RELATED SEARCH HIT (RSH)**

QXS inquiries may also contain a Related Search Hit (RSH) Field. If the RSH is Y, secondary hit responses will be returned for all Convicted Sexual Offender Registry File records with the same ORI/OCA as the primary hit response.

If the hit response contains more than ten secondary hit responses, the following will be included in the hit response to indicate a file is being created with ~~the additional hits~~ up to an additional 100 hit responses.

#### **ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW**

A \$.B. administrative message will ~~then~~ be sent to the ORI to identify the file name to be

requested to retrieve the ~~additional~~ hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

## VEHICLE FILE

### SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

6. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with up to an additional 100 hit responses.

#### ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will be sent to the ORI to identify the file name to be requested to retrieve the hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

### SECTION 5.5 -- ADDITIONAL GUIDELINES FOR NCIC 2000 INQUIRY

#### 2. RELATED SEARCH HIT (RSH)

Inquiries may also contain a RSH Field. If the RSH is Y, secondary hit responses will be returned for all records with the same ORI/OCA as the primary hit response and all records linked by the LKI/LKA contained in the primary hit response.

If the hit response contains more than ten secondary hit responses, the following will be included in the response to indicate a file is being created with ~~the additional hits~~ up to an additional 100 hit responses.

#### ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will ~~then~~ be sent to the ORI to identify the file name to be requested to retrieve the ~~additional~~ hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

### SECTION 5.6 -- BATCH INQUIRY(QVB)

4. ~~The user is notified of a file by the \$.B. administrative message. The results of the batch inquiry must be retrieved by the user via a File Transfer (FT) message.~~are transmitted via a file to be retrieved by the user. The maximum number of inquiry batched records is 2,000. If the maximum number is exceeded, the Introduction chapter of this manual provides the necessary message translation. The user is notified of the file by the \$.B. administrative message. The following is an example of the contents of a file:

1L01HEADER  
DC1014300

SEQUENCE NUMBER: 001  
NO RECORD VIN/WG723K1K6E7654321

SEQUENCE NUMBER: 002

MKE/STOLEN VEHICLE  
ORI/MD1012600 LIC/ABC123 LIS/MD LIY/1999 LIT/PC  
VIN/2P4555PO2683 VYR/1996  
VMA/FORD VMO/MUS VST/2D VCO/BLU DOT/20000110  
OCA/ABC123  
MIS/DENT IN LEFT REAR FENDER  
OAN/0192837465VA  
NIC/V723005317 DTE/20000112 1400 EST  
ORI IS ANY CITY PD MD 301 555-1212  
IMMED CONFIRM RECORD WITH ORI

SEQUENCE NUMBER: 005

NO RECORD VIN/1K742B2GOD5432123

\*\*\*VERIFY VIN/1K742B2GOD5432123; IT DOES NOT CONFORM TO  
VIN STANDARDS FOR 1981 AND LATER VEHICLES.

SEQUENCE NUMBER: 010

NO RECORD NIC/V123456789

## **VIOLENT GANG AND TERRORIST ORGANIZATION FILE (VGTOF)**

### **SECTION 13.4 -- ADDITIONAL GUIDELINES FOR GMC INQUIRY**

6. An inquiry can provide a secondary hit response only from within the VGTOF when the primary hit contains a SOC, FBI, or VIN, and those fields were not part of the original search criteria. A second computer search is automatically generated on the SOC, FBI, and VIN Fields contained in the primary record response. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with up to an additional 100 hit responses.

### **ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW**

A \$.B. administrative message will be sent to the ORI to identify the file name to be requested to retrieve the hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

### **SECTION 13.5 -- ADDITIONAL GUIDELINES FOR NCIC 2000 GMC INQUIRY**

#### **2. RELATED SEARCH HIT (RSH)**

A QGM inquiry may also contain a Related Search Hit (RSH) Field. If the RSH Field is Y, secondary hit responses will be returned for all records with the same ORI/OCA as the primary hit response and all records linked by the LKI/LKA contained in the primary hit response. If the primary hit response is for a gang member, there will not be any LKI/LKA Fields to search, but a search could occur based on the ORI and OCA Fields of the GMC record.

1N01HEADER.QW.WA1230000.NAM/SMITH, JOHN J.SEX/M.RAC/W.  
DOB/19691012.RSH/Y



The following would be returned after the primary hit response based on the ORI/OCA of the two records being the same:

\*\*\*RELATED RECORDS\*\*\*

MKE/STOLEN GUN  
ORI/MD1012600 SER/B512673 MAK/REM CAL/308 MOD/MOHAWK  
TYP/RC DOT/19981005  
OCA/12334444  
ORI IS ANY CITY PD MD 301 555-1111  
NIC/G000039842 DTE/19981215 1234 EST  
IMMED CONFIRM RECORD WITH ORI

The following would be returned after the primary hit response based on the primary hit response having an LKI/DC1014300 LKA/CS12345 that matches another record's ORI/OCA:

\*\*\*RELATED RECORDS\*\*\*

MKE/MISSING PERSON OTHER  
ORI/DC1014300 NAM/THOMAS, TOM SEX/M RAC/W POB/FL DOB/19540327  
HGT/509 WGT/153 EYE/BRO HAI/BRO SKN/FAR  
SMT/TAT L LEG FPC/PMPIC114151617181920 SOC/123456789  
MNP/MP DLC/19980501 OCA/CS12345  
MIS/LAST SEEN WEARING BLUEJEANS AND BLACK PULL OVER SHIRT  
ORI IS ANY CITY PD DC 202 555-1111  
NIC/M107650007 DTE/20000503 1400 EDT  
IMMED CONFIRM MISSING PERSON STATUS WITH ORI

If the hit response contains more than ten secondary hit responses, the following will be included in the hit response to indicate a file is being created with the additional hits up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will ~~then~~ be sent to the ORI to identify the file name to be requested to retrieve the additional hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

## WANTED PERSON FILE

### SECTION 5.4 -- ADDITIONAL GUIDELINES FOR INQUIRY

9. An inquiry can provide a secondary hit response from other files in NCIC 2000 when the primary hit contains a SOC, FBI, or VIN, and those fields were not part of the original search criteria. A second computer search is automatically generated on the SOC, FBI, and VIN contained in the primary record response. The second search is against all person files (except the Unidentified Person File), Vehicle, Boat, and Vehicle/Boat Part Files. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will be sent to the ORI to identify the file name to be requested to retrieve the hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

## **SECTION 5.5 -- ADDITIONAL GUIDELINES FOR NCIC 2000 INQUIRY**

### **2. RELATED SEARCH HIT (RSH)**

Inquiries may also contain a RSH Field. If the RSH is Y, secondary hit responses will be returned for all records with the same ORI/OCA contained in the primary hit response and all records linked by the LKI/LKA contained in the primary hit response. If RSH is not entered, the field will default to N. For example:

1N01HEADER.QW.WA1230000.NAM/SMITH, JOHN J.SEX/M.RAC/W.  
DOB/19691012.IND/Y.RSH/Y

The following would be returned after the primary hit response based on the ORI/OCA of the two records being the same:

\*\*\*RELATED RECORDS\*\*\*

MKE/STOLEN GUN  
ORI/MD1012600 SER/B512673 MAK/REM CAL/308 MOD/MOHAWK  
TYP/RC DOT/19981005  
OCA/99-1234  
NIC/G000039842 DTE/19981215 1234 EST  
ORI IS ANY CITY PD MD 301 555-1111  
IMMED CONFIRM RECORD WITH ORI

The following would be returned after the primary hit response if the primary hit response has an LKI/DC1014300 LKA/CS12345 that matches another record's ORI/OCA:

\*\*\*RELATED RECORDS\*\*\*

MKE/MISSING PERSON OTHER  
ORI/DC1014300 NAM/THOMAS, TOM SEX/M RAC/W POB/FL  
DOB/19540327  
HGT/509 WGT/153 EYE/BRO HAI/BRO SKN/FAR  
SMT/TAT L LEG  
FPC/PMPIC114151617181920 SOC/123456789  
MNP/MP DLC/19981001 OCA/CS12345  
MIS/LAST SEEN WEARING BLUEJEANS AND BLACK PULL OVER SHIRT  
ORI IS ANY CITY PD DC 202 555-1111  
NIC/M107650007 DTE/19991003 1400 ~~EST~~ EDT  
IMMED CONFIRM MISSING PERSON STATUS WITH ORI

If the hit response contains more than ten secondary hit responses, the following

will be included in the hit response to indicate a file is being created with the additional hits:up to an additional 100 hit responses.

ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW

A \$.B. administrative message will ~~then~~ be sent to the ORI to identify the file name to be

requested to retrieve the additional hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

## **SECTION 5.6 -- BATCH INQUIRY (QWB)**

4. The results of the batch inquiry are transmitted via a file to be retrieved by the user. The maximum number of inquiry batched records is 2,000. If the maximum number is exceeded, the Introduction chapter of this manual provides the necessary message translation. The user is notified of the file by the \$.B. administrative message. The following is an example of the contents of the file:

1L01HEADER  
DC1014300

SEQUENCE NUMBER: 001  
NO NCIC WANT NAM/SMITH, JOHN DOB/19650430

SEQUENCE NUMBER: 002  
MKE/MISSING PERSON INVOLUNTARY  
ORI/DC1014300 NAM/SMITH, BARRY SEX/M RAC/W POB/FL DOB/19540105  
HGT/509 WGT/153 EYE/BRO HAI/BRO SKN/FAR SMT/TAT L LEG  
FPC/PMPICII14151617181920 SOC/123456789  
MNP/MP DLC/19981001 OCA/CS12345  
MIS/LAST SEEN AT THE TYSONS CORNER MALL  
ORI IS ANY CITY PD DC 202 555-1111  
NIC/M107650007 DTE/19991003 1400 EDT  
IMMED CONFIRM MISSING PERSON STATUS WITH ORI

SEQUENCE NUMBER: 005  
NO NCIC WANT NIC/W123456789

SEQUENCE NUMBER: 010  
MKE/MISSING PERSON INVOLUNTARY  
ORI/DC1014300 NAM/BROWN, JOHN SEX/M RAC/W POB/FL  
DOB/19540105  
HGT/509 WGT/153 EYE/BRO HAI/BRO SKN/FAR SMT/TAT L LEG  
FPC/PMPICII14151617181920 SOC/123456789  
MNP/MP DLC/19981001 OCA/CS12345  
MIS/LAST SEEN AT THE TYSONS CORNER MALL  
ORI IS ANY CITY PD DC 202 222-1111  
NIC/M123496537 DTE/19751011 1400 EDT  
IMMED CONFIRM MISSING PERSON STATUS WITH ORI

## **SECTION 3 -- NCIC 2000 CODE MANUAL UPDATES**

### **UNIFORM OFFENSE CODES**

#### **Background**

The following additions to the NCIC Uniform Offense Codes are the result of an NCIC Convicted Sexual Offender Registry File (CSORF) Offense Code Survey sent to the Control Terminal Officers and Sex Offender Registry Points of Contact in March 2000. The survey was created in response to a user's request for code additions to the NCIC Uniform Offense Codes for

use in the CSORF. The purpose of the survey was to ascertain the use of codes 3699 (Sex Offense [Use the MIS Field to further describe offense]) and 1199 (Sex Assault [Use the MIS Field to further describe offense]) and to inquire about the addition of new offenses in the NCIC Uniform Offense Code to support the CSORF. As a result, the CJIS Division staff determined that 19 additional offenses and one new category containing 10 offenses required codes.

**The following codes have been added to:**

### **SECTION 3 OFF, OOE, AND CRR FIELD CODES**

**Effective Date: 11/2002**

#### **SEXUAL ASSAULT**

<b><u>Offense</u></b>	<b><u>Offense Code</u></b>
<u>Rape - Elderly</u>	<u>1118</u>
<u>Rape - Disabled</u>	<u>1119</u>
<u>Sex Assault - Elderly</u>	<u>1120</u>
<u>Sex Assault - Disabled</u>	<u>1121</u>
<u>Rape - Drug-induced</u>	<u>1122</u>
<u>Sexual Assault - Drug-Induced</u>	<u>1123</u>
<u>Rape (Use the MIS Field to further describe offense)</u>	<u>1198</u>

#### **SEX OFFENSES (Not involving sexual assault or commercialized sex)**

<b><u>Offense</u></b>	<b><u>Offense Code</u></b>
<u>Lewd or Lascivious</u>	<u>3616</u>
<u>Acts with Minor</u>	<u>3617</u>
<u>Sexually Violate</u>	<u>3618</u>
<u>Human Remains/Necrophilia</u>	<u>3619</u>
<u>Molestation of Minor</u>	<u>3620</u>
<u>Voyeurism</u>	<u>3621</u>
<u>Sex Offense - Elderly</u>	<u>3622</u>
<u>Sex Offense - Disabled</u>	
<u>Transport Interstate for Sexual Activity</u>	

#### **FAMILY OFFENSES**

<b><u>Offense</u></b>	<b><u>Code</u></b>
<u>Cruelty Toward Elderly</u>	<u>3809</u>
<u>Cruelty Toward Disabled</u>	<u>3810</u>
<u>Neglect Elderly</u>	<u>3811</u>
<u>Neglect Disabled</u>	<u>3812</u>

#### **COMMERCIALIZED SEX**

<u>Offense</u>	<u>Code</u>
<u>Transport Interstate for Commercialized Sex</u>	<u>4009</u>

**Category Addition:**

**The following is a new category and offenses:**

**EXPLOITATION/ENTICEMENT**

The creation of this new category allows for the future addition of offenses of a nonsexual nature.

<u>Offense</u>	<u>Code</u>
<u>Sexual Exploitation of Minor - Material - Transport</u>	<u>6401</u>
<u>Sexual Exploitation of Minor - Material - Photographs</u>	<u>6402</u>
<u>Sexual Exploitation of Minor - Material - Film</u>	<u>6403</u>
<u>Sexual Exploitation of Minor - Exhibition of Minor</u>	<u>6404</u>
<u>Sexual Exploitation of Minor - Sex Performance</u>	<u>6405</u>
<u>Sexual Exploitation of Minor - Via Telecommunications</u>	<u>6406</u>
<u>Sexual Exploitation of Minor - Prostitution</u>	<u>6407</u>
<u>Enticement of Minor for Indecent Purposes - via Telecommunications</u>	<u>6408</u>
<u>Enticement of Minor for Prostitution</u>	<u>6409</u>
<u>Enticement of Minor for Indecent Purposes</u>	<u>6410</u>
<u>Exploitation/Enticement (Use the MIS Field to further describe offense)</u>	<u>6499</u>

1. The Privacy Act (5 U.S.C. §§552a) obligates federal agencies to (1) identify "routine uses" and (2) record each instance of and the purpose for dissemination. To comply with the Privacy Act, the FBI published its routine uses in the *Federal Register* on September 28, 1999, created NCIC purpose codes, and maintains an automated system to log each inquiry (including purpose) and dissemination of a III record.

2. The FBI has expanded this program to include any federal firearm prohibitor. This option is now referred to as IFFS.

3. Typically, a family member would be the rightful recipient of personal property when a suicide dies intestate. In instances in which a suicide disposes of personal property by will, there may be someone other than a family member who is the rightful owner of the firearm. In either instance, a criminal justice agency should ensure that the weapon is released to the rightful owner who may lawfully possess a firearm.